



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.: 740.009US2 (IU-0008)  
Inventors: Byoung S. Kwon  
Serial No.: 10/067,122  
Filing Date: February 4, 2002  
Examiner: Not yet assigned  
Group Art Unit: 1646  
Title: Antibody for 4-1BB

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OCT 28 2002

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CERTIFICATE UNDER 37 CFR 3.73(b)

Advanced Research and Technology Institute, a corporation certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventor(s) of the patent application identified above. The assignment is attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of the undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own belief are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Judy M. Johnson  
Signature

10/14/02  
Date

Judy M. Johnson  
Typed or printed name

Vice President, Technology Transfer  
Title



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
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Washington, D.C. 20231

SEPTEMBER 02, 1998

PTAS

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH PA  
JANET E. EMBRETSON  
P.O. BOX 2938  
MINNEAPOLIS, MN 55402



\*100750024A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
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RECORDATION DATE: 06/19/1998

REEL/FRAME: 9263/0242  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

INDIANA UNIVERSITY FOUNDATION

DOC DATE: 06/30/1997

ASSIGNEE:

ADVANCED RESEARCH AND TECHNOLOGY  
INSTITUTE  
620 N. UNION DRIVE  
OFFICE OF TECHNOLOGY TRANSFER, 537  
UNION BUILDING  
INDIANAPOLIS, INDIANA 46202-5113

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SERIAL NUMBER: 08012269  
PATENT NUMBER:

FILING DATE: 02/01/1993  
ISSUE DATE:

ALLYSON PURNELL, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

Schwegman, Lundberg,  
Woessner & Kluth, P.A.

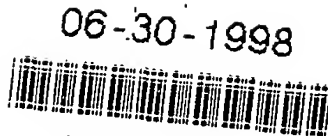
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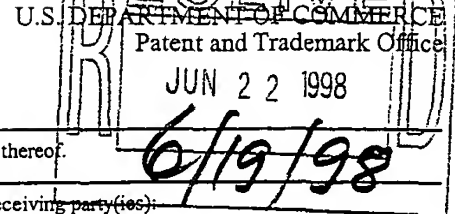
Atty Ref/Docket No.: 740.009US1

To the Honorable Commissioner of Patents and Trademarks: Please record the attached



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1. Name of conveying party(ies):

Indiana University Foundation

2. Name and address of receiving party(ies):

Name: Advanced Research and Technology Institute

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Street Address:

Office of Technology Transfer  
537 Union Building  
620 N. Union Drive

Indianapolis 46202-5113 Administration



Additional name(s) & address(es) attached? ☐ Yes ☒ No

Execution Date: June 30, 1997

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 08/012,269, filed February 1, 1993

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Janet E. Embretson

Address: Schwegman, Lundberg, Woessner & Kluth, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Please charge any additional fees or credit any overpayments to our  
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06/29/1998 DCDATES 00000224 08012269

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Janet E. Embretson/Reg. No. 39,665

Name of Person Signing

Signature

June 19, 1998

Date

Total number of pages including cover sheet: 5

OMB No. 0651-0011 (exp. 4/94)

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## PATENT ASSIGNMENT

THIS PATENT ASSIGNMENT (the "Assignment"), made as of the 30th day of June, 1997, by and between Indiana University Foundation, a nonprofit corporation organized under the laws of the State of Indiana, ("Assignor"), and the Advanced Research & Technology Institute, an Indiana nonprofit entity incorporated in 1996 to assist Indiana University ("Assignee").

### WITNESSETH

WHEREAS, Assignor has previously been assigned right, title, and interest in property listed on Schedule A attached hereto by the Inventor of said property; and

WHEREAS, Assignee is desirous of acquiring Assignor's interest in the same;

NOW, THEREFORE, in consideration of the premises set forth herein and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor agrees as follows:

1. **Assignment of Patents.** Assignor hereby grants, conveys, and assigns to Assignee, all of Assignor's right, title, and interest in and to all of its now owned or existing:

1. U.S. and foreign patents and patent applications including, without limitation, the inventions and improvements described and claimed therein, as listed on Schedule A attached hereto (hereinafter called "Patents");
2. The reissues, divisions, continuations, renewals, extensions, continuations-in-part, and improvements thereof;
3. All income, royalties, damages, and payments now and hereafter due and/or payable under and with respect thereto, including, without limitation, damages and payments for past or future infringements thereof; and
4. The right to sue and recover for past, present, and future infringements thereof.

2. Covenants and Warranties. Assignor represents, warrants, and covenants that:

1. The Patents are subsisting, have not been adjudged invalid or unenforceable in whole or in part, and are not currently being challenged in any way;
2. None of the Patents has lapsed or expired;
3. No claim has been made that the use of any of the Patents constitutes an infringement of any senior or dominant U.S. patent or other intellectual property right; and
4. Assignor has the full right to convey the right, title and interest herein assigned.

3. **Binding effect; Benefits.** This Assignment shall be binding upon Assignor and its respective successors and assigns and shall inure to the benefit of Assignee, its nominees, successors, and assigns.

4. **Authorization and Request.** Assignor authorizes and requests the Commissioner of Patents and Trademarks to issue in the name of the Assignee any and all patents of the United States to issue from pending patent applications, or reissues, divisions, continuations, renewals, extensions, continuations-in-part or improvements resulting from Patents.

WITNESS the due execution hereof as of the date first above written.

Indiana University Foundation

By: 

Walter L. Koon, Jr.  
Senior Vice President, Investments

Attest: 

Carol S. Gross  
Corporate Secretary

Accepted:

Advanced Research & Technology Institute

By: Douglas M. Wilson  
Douglas Wilson  
President

cc: Julie M. Watson  
Vice President  
Advanced Research and Technology Institute

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